

State of Tennessee LWDA Assessment

Sprint 8 – Greater Memphis

May 20, 2019–May 31, 2019

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Executive summary

Summary of observations

Outlined below are the key and consistent themes arising from our interviews with stakeholders and review of documentation:

- ▶ There is opportunity to improve the planning, tracking, prioritization and accountability of strategic goals by developing a road map detailing key strategic initiatives and milestones for the GMLWDA.
- ▶ Opportunities exist to clarify roles, responsibilities, accountability and build awareness of key stakeholder roles.
- ▶ The FTE count of the Board Staff committed to WIOA activities is significantly higher than other LWDAs, which on average consist of six FTEs. This may indicate inefficiencies in the operating model. As the area continues to streamline its operations, it should continually reevaluate the size of the Board staff to reduce administrative costs.
- ▶ The Board has limited concrete visibility into the performance of the local workforce system due to a lack of comprehensive reports provided.
- ▶ The LWDA fiscal staff demonstrates leading practices such as:
 - ▶ Monitoring of allowable expenses and disallowed costs, payment and voucher validity, etc.
 - ▶ Tracking of the budget through a reporting system (TeamBudget; please refer to Appendix C for further details)
 - ▶ Performing a three-way match for all contractor invoices submitted
 - ▶ Segregating duties between the approval of payments (WIN fiscal side) and the actual disbursement and management of funds (Shelby County fiscal side)
- ▶ Opportunities to improve or strengthen internal controls within the GMLWDA exist within the following areas:
 - ▶ Monitoring and oversight of service provider performance
 - ▶ Contract management
 - ▶ RFP evaluation process
- ▶ There are opportunities to enhance the understanding of value and purpose of the firewall within the LWDA system.
- ▶ Similar to other LWDAs, the GMLWDA faces technology limitations that lead to process inefficiencies. There are opportunities to further train endusers on the full capabilities of the VOS system.

Assessment approach

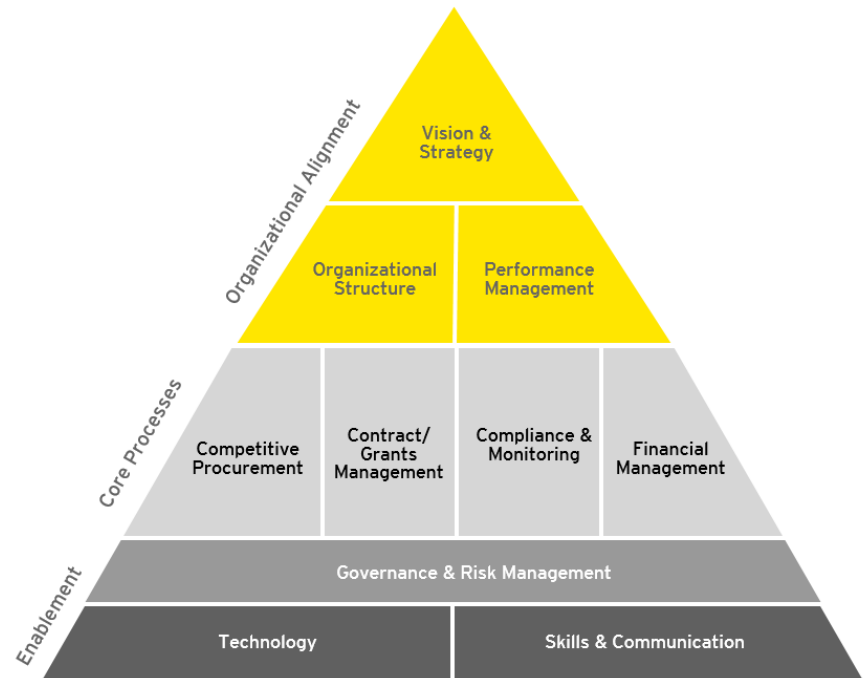
Our framework

EY assessed the organizational fitness and operational controls of the Greater Memphis LWDA by using a holistic framework that focused on strategic elements of an organization.

Assessment methodology



Strategic elements of an organization



Organizational alignment

Vision and strategy

GMLWDA strategy

Opportunities exist to improve planning, prioritization and accountability for strategic outcomes by developing a road map detailing key initiatives and milestones.

Focus area	Key observation
Strategic vision	The Local Plan for the GMLWDA includes the vision, goals and a high-level implementation strategy. The Workforce Investment Network Board Staff, spearheaded by the interim Executive Director, developed the Plan. The Plan was then shared with key stakeholders within the LWDA to including the LWDA Board, Board Chair and CLEO. The Regional Director was not involved in providing guidance while drafting the Plan but reviewed the Plan at its final draft. According to the current Executive Director, there is an opportunity to develop a more detailed and inclusive strategic plan where key community partners and LWDA stakeholders are more involved in the initial stages. To address this gap, there is an initiative underway to develop a comprehensive five year Strategic Plan (in addition to the local plan submitted to the state) that would include input from the broader Greater Memphis workforce community through a series of town halls, starting in September 2019. The objective is to develop a shared vision and mission for the GMLWDA and use the strategic plan as a living document to guide the LWDA into the future and aligned to its strategic goals.
Road map to achieve strategic outcomes	The Local Plan submitted to the State Workforce Board, currently lacks a formal, detailed road map including milestones to measure progress against. A road map can track and manage actionable steps and progress toward strategic goals as well as increase accountability, engagement and alignment of key stakeholders with achieving goals outlined in the Plan. The five year Strategic Plan, as described above, would address the lack of a strategic road map.
Strategy enabling technology	Technology is primarily used for participant case management and as a tool to provide access to and build awareness of AJC services. The Business Services Team focuses on outreach and marketing of available grants and services. They utilize several marketing channels to include social media and Business Chambers. They also leverage business relationships to build awareness of grant services. There is an opportunity to coordinate, track and manage outreach communications through the use of a communication plan. There are several technology-enabled initiatives and future opportunities the LWDA will be focusing on. These include additional AJC access points, use of an artificial intelligence system and paperless operations.
Recommendations	
<ul style="list-style-type: none"> ▶ The GMLWDB plans are in line with leading practices recommended to other areas. To further enable the achievement of strategic outcomes, the GMLWDB should: <ul style="list-style-type: none"> ▶ Develop and document a road map that includes detailed plans for strategic goals and initiatives with key milestones and be revisited at a more frequent cadence (e.g., quarterly) with input from key stakeholders. Our understanding is that this will be accomplished in the five year strategic plan. ▶ Implement plans to track progress against the strategic plan and provide updates and milestones during Board meetings. ▶ Develop an outreach communication plan to verify that the GMLWDB is making the most efficient use of its marketing and outreach activities. This plan should include tracking success of the different strategies implemented. 	

Organizational alignment

Organizational structure

Roles and responsibilities

Opportunities exist to clarify roles, responsibilities, accountability and build awareness of key stakeholder roles.

Focus area	Key observation
LWDA Leadership	<p>The CLEO understands his responsibilities and has strong communication with the Executive Director of WIN (Workforce Investment Network). He receives monthly briefings and has a monthly meeting with the Executive Director to review fiscal spending and to receive key updates.</p> <p>The Board Chair is engaged and proactive in encouraging the Board to take ownership and accountability of establishing and pushing forward LWDA's strategic direction and goals. She mentioned her responsibility is to verify that funds are spent on programs that benefit the local community. On a monthly basis, she reviews program and fiscal reports as part of the Executive Committee and actively participates in quarterly Board meetings. She noted there is an opportunity to further engage some Board members and believes the Board training planned for the Fall 2019 will enable this outcome.</p> <p>The Executive Director is new to the role and started in March 2019. She has extensive experience with workforce boards and understands workforce leading practices across the country. She recognizes her role is critical in pushing forward strategic goals and plans to incorporate leading practices into the Greater Memphis Workforce system. For example, she has spearheaded the effort to rewrite contracts effective July 1, 2019, to include a performance matrix that will increase contractor accountability for performance.</p>
OSO and CSP	<p>Grant Associates performs the OSO and CSP roles. Based on interviews, there are concerns with the performance of the former OSO Manager, who recently left the role at the end of May 2019. The former OSO Manager did not provide reports or present updates to the LWDB, and did not provide training to enable the functional alignment of AJC service providers. It was mentioned that the limited activity in training and performance reporting was a result of the need to prioritize and address issues with AJC sites. A significant amount of the former OSO Manager's time was dedicated to alleviating facilities issues that include leaks mold and security concerns. During an interview, the VP of Grant Associates (the OSO contractor) mentioned that a new OSO Manager has been recently hired and that issues with facilities have been resolved. She has asserted that this will address and alleviate the concerns LWDA stakeholders have with former OSO performance, particularly with reporting AJC performance and training AJC partners.</p> <p>The CSP understands the responsibilities include reporting of performance, case management and service delivery to participants. The CSP mentioned that there is low morale within the Career Advisors due to the facilities situation which has also affected performance. He continuously works on increasing the performance of Career Advisors by team-building activities and case note quality awareness.</p>

Roles and responsibilities

Opportunities exist to clarify roles, responsibilities, accountability and build awareness of key stakeholder roles.

Focus area	Key observation
Regional Director	The Executive Director and Regional Director do not appear to have a strong or collaborative working relationship. The Regional Director has limited interaction with the Executive Director and feels excluded from strategic discussions and decisions as a result. Based on our interviews, the Executive Director prefers to take questions or concerns directly to the Central Office (as opposed to channeling communication through the Regional Director) because she is confident in this approach to generate timely and accurate responses.
Board Staff	The Board Staff is made up of 19 full-time positions. WIN explained that they have larger Board Staff given they are currently performing annual, quarterly and ongoing contract, fiscal and performance monitoring for over 50 contracts including all Youth contracts. WIN is in the process of transitioning contract management and monitoring to the OSO contract, which will decrease the manpower needed to perform current activities. The Executive Director also mentioned WIN is in the process of developing a new organizational structure that will align to strategic goals and changes made with contractor providers. The FTE count of the Board Staff committed to WIOA activities is significantly higher than other LWDAs, which on average consist of six FTEs. This may indicate inefficiencies in the operating model.
Recommendations	
<ul style="list-style-type: none">▶ Provide an orientation session for the Board that includes reviewing responsibilities, accountability and authority of role as well as performance management leading practices (Board training has been scheduled by WIN during fall 2019).▶ Develop a roles and responsibilities guide for key LWDA stakeholder roles that clearly defines responsibilities including reporting layers, management accountabilities, communication expectations and authority.▶ Define communication protocols between the Executive Director and Regional Director, so the level of involvement of the Regional Director is clear to all parties.▶ Consider redesigning the organizational structure of WIN to align with strategic goals and the transition of contracts management to the OSO (WIN is developing a new organizational structure given upcoming changes).▶ As the area continues to streamline its operations, it should continually reevaluate the size of the Board staff to reduce administrative costs.	

Organizational alignment

Performance management

Performance management

The Board has limited concrete visibility into the performance of the local workforce system due to a lack of comprehensive reports provided.

Focus area	Key observation
OSO and CSP Reporting	<p>The reporting currently provided to the Board is not in line with other areas in terms of level of detail and information provided. The fiscal reporting lacks a sufficient level of detail to support the Board in their decision-making process. Additionally, the Board is receiving WIOA information directly from the CSP, which is the responsibility of the OSO.</p> <p>At the time of this review, the LWDA was in the process of replacing the former OSO Manager, who many interviewees described as not meeting expectations. Based on interviews with the VP of Grant Associates (the OSO contractor), the previous OSO Manager had been providing the Board with monthly performance reports, but now that the position is vacant, there are no reports being generated. During the interview with the Executive Director, she stated that the OSO was not providing any reporting to the Board.</p> <p>During interviews, the CSP Manager mentioned that he generates weekly performance reports, which are cumulated and provided to the Board's Executive Committee (which meets monthly), and then to the full Board (which meets approximately every two months). The CSP reports include WIOA common measures and progress toward meeting internal goals (enrollment numbers, job placement numbers, funding streams, etc.). Based on interviews with the Board's Executive Director, the Board is currently not receiving any documented reports besides an oral update from the CSP during meetings. Per the Executive Director, questions were raised during the more recent Board meeting regarding the validity of these oral reports.</p>
Fiscal management	<p>Based on interviews, the current fiscal reporting provided is not meeting the Executive Director's expectations. She noted that the reports do not contain necessary data to make decisions, and therefore, the Board is not properly informed. The Executive Director expressed that they have been unable to acquire financial reports with the desired level of detail from the Fiscal Agent. The current reporting provided to the Executive Director was described as "very basic" – it is an overview which breaks out total grants and monies spent to date. This level of reporting is not as detailed as what the boards in other local areas are receiving. The Executive Director stated that all reporting up to the state is performed by the WIN fiscal staff. Based on interviews, we determined it may be unclear to the Executive Director who the fiscal reporting responsibility belongs to (WIN or Shelby County Government).</p>
Recommendations	
<ul style="list-style-type: none">▶ Define expectations regarding reporting to the Board, including the responsible party and the expectations of what is to be reported on.▶ Assess current fiscal performance management processes for opportunities to streamline and provide key stakeholders with the level of detail they require for decision-making.	

Facilities management

Substandard facilities limit the effectiveness of WIOA programs.

Focus area	Key observation
Barriers to effective performance	Based on interviews with several stakeholders (including the CSP Manager), there are severe facilities issues at the AJCs that are negatively impacting the quality of service delivery to participants and the morale of AJC staff. One AJC is located in the basement of a Planet Fitness, which has made it difficult for participants to locate the AJC. This location has also contributed to other issues such as excessive noise and poor cell phone reception. Other challenges include plumbing issues (such as ceiling leaks), limited parking and safety concerns. In an interview with the CSP Manager, he mentioned that his teams are doing the best they can in an ever-changing environment and that the added stress of poor facilities has made it difficult to focus on serving participants.
Recommendations	
<ul style="list-style-type: none">Other local areas within the state have had success renegotiating AJC leases to decrease costs or move to better locations. The GMLWDA should explore options for renegotiating AJC leases.	

Governance and risk management

Internal controls

OSO and CSP procurement

There is an opportunity to align the competitive RFP process with leading practices.

Observation	Leading practice
<ul style="list-style-type: none">▶ The Greater Memphis Workforce Development Board is staffed by WIN. Prior to realignment, WIN was a division under the City of Memphis (who served as Fiscal Agent). During realignment, WIN moved to Shelby County Government (who now serves as Fiscal Agent). The process to competitively procure the current OSO and CSP provider took place while WIN was managed by the City of Memphis.▶ Some leading practices were displayed by the Greater Memphis LWDA in competitively procuring their OSO and CSP. For example, an evaluation committee established by the Board Chair was responsible for evaluating and scoring RFP responses individually. All members of the evaluation committee signed a Conflict of Interest and Non-Disclosure Statement prior to participating in the process.▶ The following are opportunities for improvement specific to the competitive procurement of the OSO and CSP service provider:<ul style="list-style-type: none">▶ Names and other identifying information about the entity were not removed from RFP responses before they were provided to the evaluation committee.▶ RFP scoring categories did not include specific evaluation criteria, and there was no field for free text or comments to document their scoring justification.▶ Based on our review of the RFP and interviews with the WIN Executive Director, there was not a clear differentiation between the OSO and CSP roles and responsibilities.	<ul style="list-style-type: none">▶ The RFP Evaluation Committee should be made up of individuals with various area of knowledge (i.e., financial, procurement, career services). Based on subject-matter knowledge or functional area, it may be appropriate for each evaluation committee member to be assigned only a specific section of the proposal to review and score.▶ Smaller organizations may choose to outsource the RFP process if they determine that their time will be more impactful spent elsewhere. Outsourcing the RFP process can reduce workload and operational costs.▶ RFP evaluation criteria is clearly defined and documented, increasing consistency in scoring across judges and setting clear expectations for scorers.▶ Scoring is blind (process by which evaluators rate the responses without specific knowledge of which entity is tied to which answer), reducing the risk of bias in the RFP process.▶ Distinct weightings are used. This method allows each criterion to be measured on the same scale. Each criterion also has a weight by which the score is multiplied to give it a total weighted score. This makes scoring easy and verifies that the most important criteria are given greater consideration.▶ Technology is incorporated into the RFP scoring process.
Recommendations	
<ul style="list-style-type: none">▶ During the next procurement of OSO and Title 1 services, we recommend developing separate RFPs for each service or updating the RFP to clearly define the roles and responsibilities of each stand-alone service.▶ Whether the services are procured through a single RFP or separate RFPs, the process to evaluate and score responses should be separated. CSP and OSO criteria should be developed and evaluated independently.▶ We recommend that RFP scoring is performed blind. We recommend that RFP evaluation criteria is specifically outlined in sufficient detail to enable consistent interpretation of responses. We recommend that the RFP score sheet is updated to include free text fields where RFP scorers can document their rationale for scores.	

Contract management

Performance metrics for contracted service providers are not clearly defined, documented, agreed to or monitored leading to ineffective contract management and inadequate level of services provided.

Observation	Leading practice
<ul style="list-style-type: none">▶ There is an opportunity for WIN to more proactively manage vendors to uphold price and quality commitments.<ul style="list-style-type: none">▶ Currently, the contracts are not written in a way that holds providers responsible for meeting performance expectations. Based on interviews with the Executive Director, this has limited WIN's ability to effectively monitor contract performance and compliance to verify quality delivery. Specifically, providers are paid even when the quality of services does not meet expectations. However, it is difficult to enforce change or improvements when these expectations are not outlined in the contract.▶ Currently, one entity (Grant Associates) is contracted to provide both OSO and CSP services. This entity was competitively procured through one RFP soliciting an "all-encompassing" provider. The division between the OSO and CSP function was not clearly defined in the RFP (or the final contract, as a result). Based on interviews with the WIN Executive Director, this has led to unclear roles and responsibilities, created a potential for firewall noncompliance, and may be the root cause of the OSO's underperformance.▶ The contract does not allocate dollars by funding stream, so WIN cannot measure or monitor the division of funding between OSO and CSP services.	<ul style="list-style-type: none">▶ Service-level agreements (SLAs) are in place for all outsourcing contracts. SLAs include specific, measurable key performance indicators that can be clearly monitored and reported against. The SLA should describe the mechanism for escalating and resolving issues related to the delivery of services. The contract owner should be the main author of the SLA as they set the expectations for service delivery and quality that they require.▶ There is a formal process in place to monitor contract performance and compliance to drive quality delivery and identify areas where the providers is not performing to expectations. Service provider performance is reported and reviewed collaboratively with the service provider.
Recommendations	
<ul style="list-style-type: none">▶ During the contracting process, we recommend that the Board define how the service provider performance will be evaluated. This should include the metrics and evaluation criteria used to create a scorecard as well as the terms for payment (i.e., contingent based on meeting certain criteria).	

Formal monitoring program

There are opportunities to improve the efficiency and the organization of monitoring activities performed by the Board Staff.

Observation	Leading practice
<ul style="list-style-type: none"> ▶ The WIN Board Staff includes a monitoring team, which reports to the Performance Manager. Under the supervision of the Performance Manager, the monitoring team conduct the following activities: <ul style="list-style-type: none"> ▶ Quarterly review of case managers: A sample is selected from each case manager's case load and reviewed. The purpose of this review is to provide individual feedback on case manager performance and identify opportunities for improvement. ▶ Ongoing AJC monitoring: This entails reviewing 100% of participant files. The Board Staff does not have a formal process to document and track findings from this ongoing monitoring. Currently, findings and recommendations are recorded in VOS as case notes by the monitoring team. In their proposal, Grant Associates agreed to provide their own Quality Assurance Specialist who would be responsible for performing reviews of data accuracy and quality. Based on interviews with the Performance Manager, they have not felt comfortable relying on the service provider's monitoring (as there are several repeat quality issues). ▶ WIN has a documented Monitoring Policy. The policy states that it was updated as of January 13, 2019; however, the monitoring activities documented in the policy do not match the description of monitoring activities provided by the Board Staff's Performance Manager, and the policy still includes verbiage from the prior local area. Per interviews with the Performance Manager, the Board has plans to update the monitoring policy to include more robust details and to reflect the monitoring activities that are actually taking place. 	<ul style="list-style-type: none"> ▶ Monitoring policies are updated and customized to reflect the specific needs of the area. Policies include detail over specific monitoring activities (who is being monitored), monitoring criteria (what is being monitored) and the monitoring schedule (when does monitoring occur). Monitoring is performed in line with documented policy. ▶ Monitoring results are used to understand trends and identify root-cause issues. ▶ Roles and responsibilities are clearly documented and understood among all employees. Monitoring activities are performed effectively and efficiently without redundancy.
Recommendations	
<ul style="list-style-type: none"> ▶ Develop and document a more formalized process for escalating, tracking and remediating issues identified during monitoring. We recommend implementing a more formal process to notify service providers of monitoring findings and recommended action plans. ▶ Review current monitoring procedures for opportunities to streamline the overall monitoring program. For example, the subsequent review (performed by Board staff) of 100% of participant files may be duplicative as this is a responsibility of the OSO. ▶ Update local monitoring policy to include specifics around monitoring performed by the area. Included in this policy should be escalation procedures detailing protocol for noncompliance with performance metrics. This policy should be available to all related parties. 	

Enablement Technology

Technology

The Greater Memphis LWDA faces technology limitations that lead to process inefficiencies. There are opportunities to further train endusers on the full capabilities of the VOS system.

Focus area	Key observation
Utilization of VOS	<p>Similar to other LWDAs, interviewees have expressed frustration over the capabilities and limitations of VOS. The Board's Executive Director has several years of experience using VOS and noted that most endusers are not utilizing VOS to its full potential. She partially attributed this to the lack of quality VOS training provided at the local levels and plans for additional end-user VOS training to be provided to all contractors in July 2019.</p> <p>In an interview with the CSP Manager, he mentioned the reporting capabilities as one of their biggest challenges with VOS. He gave the example that three different endusers may try to generate the same report and end up with three different sets of data because the inconsistencies in end-user training and understanding of VOS. The Regional Director reiterated this when he expressed that he does not feel that the provider (Grant Associates) has a grasp on all the of functions, including the use of VOS.</p>
System integration	<p>There is a lack of integration between systems causing a large degree of manual reconciliation and increasing the risk of data entry errors and inaccurate reporting. Fiscal staff spend several hours reconciling data between Grants4TN and VOS.</p>
Recommendations	
<ul style="list-style-type: none">▶ We recommend providing hands-on training for end users of VOS. We recommend identifying a "systems champion" (for VOS and Grants4TN) at the state level that can be used a source of information and training for the endusers.▶ Consider the feasibility of implementing integrations between systems to avoid duplicate data entry. This could be via system interfaces, data entry bots, optical character technology, matching technology or other means. As the local area is developing their five-year strategic plan, consider prioritizing integration with the other technology enabled initiatives (i.e., artificial intelligence).	

Enablement

Skills and communication

Skills and communication

There are opportunities to enhance the understanding of value and purpose of the firewall within the system.

Focus area	Key observation
Training	Based on interviews, it was noted that performance management and VOS capability usage are challenging areas within the LWDA. The Executive Director and Board Staff noted that VOS has capabilities that can enhance partner reporting and performance measurement; however, partners are not knowledgeable on all VOS capabilities. Performance management is also a challenge as partners do not have meaningful performance metrics resulting in decreased accountability over performance. Currently, all contracts are being rewritten to include a performance matrix with more meaningful success and performance metrics. WIN will be providing training to all partners in July 2019 on VOS and performance management to close knowledge gaps and increase accountability of performance.
Communication	<p>There are communication issues between the Executive Director and the Regional Director. It was noted that the Regional Director is not aware of current WIN initiatives such as the rewriting of key LWDA policies and procedures. He also mentioned he was not engaged in the procurement process for OSO and CSP services, and the initial drafting of the Local Plan. The Regional Director welcomes increased communication with the Executive Director and further awareness of his role and responsibilities among key LWDA stakeholders. The Executive Director mentioned it has been difficult to get guidance from the Regional Director. On several occasions, the Regional Director refers the Board Staff directly to the state when they've reached out asking for guidance. For this reason, the Board Staff frequently contacts the State directly for guidance. The Executive Director welcomes a partnership with the Regional Director.</p> <p>There is also an opportunity to increase communication between the OSO and AJC partners as well as between the OSO and Board Staff. The Board staff mentioned there is currently limited communication with the OSO in regard to general updates and performance reporting. See the "Roles and Responsibilities section for recommendation.</p>
Firewall	The Executive Director, Board Staff, Regional Director, OSO and CSP understand the "firewall" concept and the value it provides in verifying segregation of duties. It was noted during several interviews that although there are no concerns with the firewall between service providers and Board Staff, there are concerns with the firewall between the OSO and CSP. Performance metrics of the OSO and CSP are not separated, which signals a weak firewall. There is an opportunity to build awareness of the value and purpose of the firewall, particularly between the OSO and CSP.

Recommendations

- ▶ Consider providing targeted training on performance management to highlight leading practice activities to all AJC partners and contractor. (Executive Director confirmed this training is scheduled for July 2019).
- ▶ Review roles and responsibilities particularly as they pertain to the OSO and CSP and confirm clear division in accordance with firewall regulations.
 - ▶ Develop a communication that includes practical examples of firewall allowed and disallowed communication topics for GMLWDA to better understand the appearance of the conflict of interest provision.

Appendices

Appendix A: RACI matrix

Activity	Sub-activity	TDLWD/Central Office	Regional Director	CLEO/LEOs	LWDB	Fiscal Agent (Shelby County Government)	Staff to the Board	WIOA Executive Director	OSO	Career Service Provider
Vendor due diligence*	Define procurement policies			I	A	R	R	A	I	I
	Define procurement processes, tools and templates									
	Perform sourcing risk management					R	A	R		
	Action procurement policy noncompliance									
Vendor selection*	Prepare and conduct market assessment						R	A		
	Develop RFP to include KPIs and targets				C	R	C	R		
	Review and approve RFP					R		A		
	Distribute RFP				I	R	A	A		
	Prepare and conduct sourcing and bid Event					R		C		
	Conduct sourcing evaluations					R		I		
	Select vendor			I	R	A	I	C		

*Refers to competitive RFP process (OSO, CSP)

R – Responsible, A – Accountable, C – Consulted, I – Informed

Appendix A: RACI matrix

Activity	Sub-activity	TDLWD/Central Office	Regional Director	CLEO/LEOs	LWDB	Fiscal Agent (Shelby County Government)	Staff to the Board	WIOA Executive Director	OSO	Career Service Provider	Legal
Contract and grant management*	Contract creation and authorization				C	R	I	R			C
	Contract execution				I	R	I	A			
	Contract monitoring				I	I	R	A			
	Contract compliance				I	I	R	A			
Operational compliance and monitoring	Determine operational key performance indicators (KPIs)				C	I	A	R			
	Monitor and track performance against operational KPIs				I	I	R	A			
	Execute performance reviews				I	I	R	C			
	Report scorecards and performance results				I	I	R	A			
Regulatory compliance and monitoring	Develop Greater Memphis LWDA Strategic Plan			I	C	C	C	R	I	I	
	Communicate regulatory requirements and policy changes				I	I	R	A	A	I	
	Monitor and track performance against negotiated performance measures				I	I	R	A			
	Monitor and track performance against fiscal requirements				I	C	R	A			
	Execute performance reviews				I	I	R	A			
	Report scorecards and performance results				I	I	R	A			
	Identify and correct noncompliance				I	I	R	A	C		

*Refers to OSO and CSP Contracts

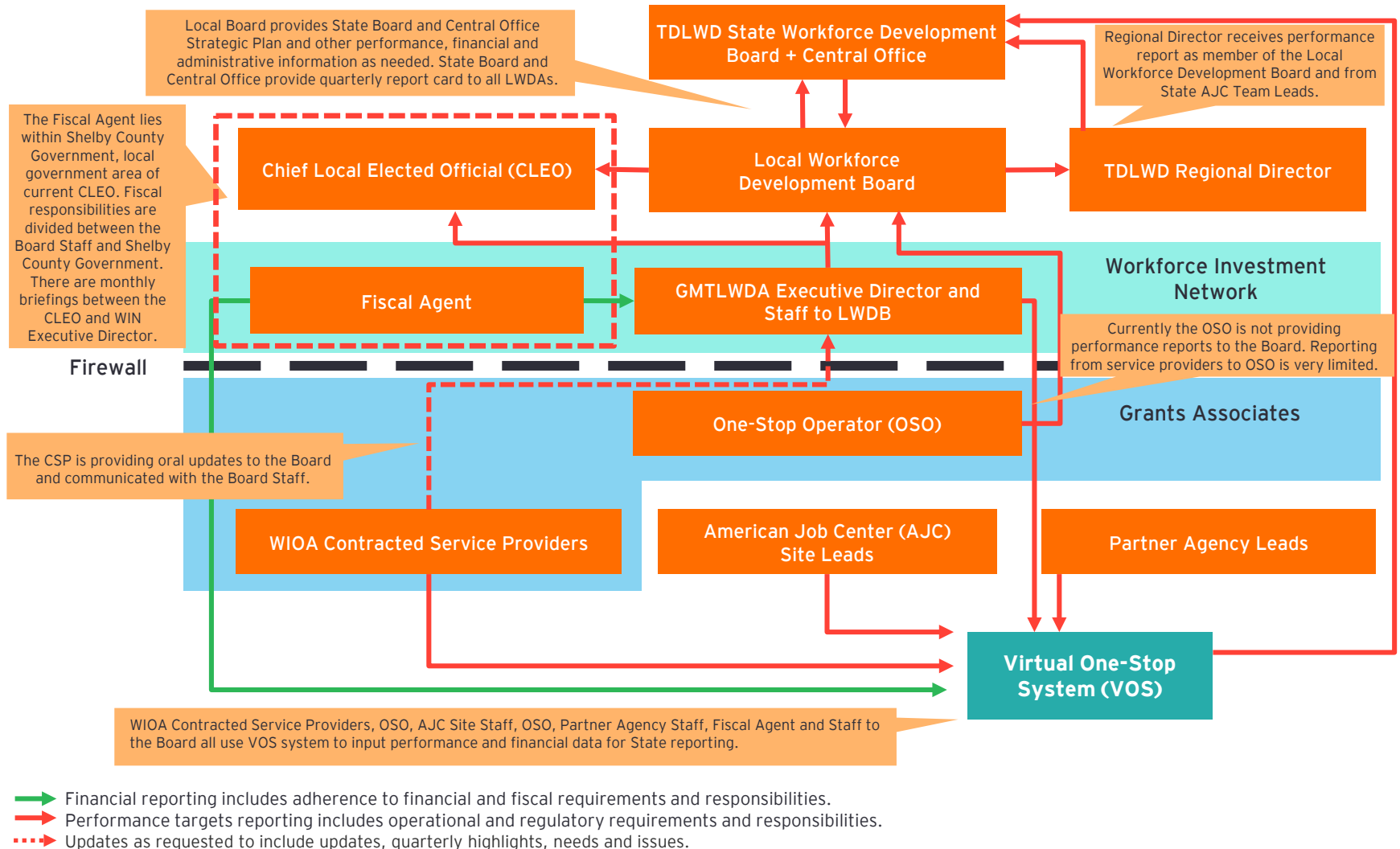
R – Responsible, A – Accountable, C – Consulted, I – Informed

Appendix A: RACI matrix

Activity	Sub-activity	TDLWD/Central Office	Regional Director	CLEO/LEOs	LWDB	Fiscal Agent (Shelby County Government)	Staff to the Board	WIOA Executive Director	OSO	Career Service Provider	Other Partners
Financial management	Develop Greater Memphis LWDA Budget				C	A	R	R			
	Approve Greater Memphis TLWDA Budget				R	R	A	A			
	Develop IFA				I	I	R	C			
	Approve IFA			I	R	C	I	I			
	Prepare expenditure reports					I	R	C			
	Review and approve expenditure reports					I	R	C			
	Review OSO and CSP invoices					A	R	C			
	Pay OSO and CSP invoices and expenses					A	R				
	Pay operating expenses					A	R	C			
	Submit reimbursement claims						R				
	Monitor expenditures	I				A	R	A			

R – Responsible, A – Accountable, C – Consulted, I – Informed

Appendix B: Current GMLWDA organizational structure



Appendix C: Technology landscape

System	Purpose	Users	Key usage areas				Risks and observations
			Financial Management	Performance and Contract Management	One-Stop Job Center Operations	AJC Operations	
Jobs4TN/VOS	Collect and maintains participant data. Serves as a repository for referrals and other metrics that is used by the state to develop performance reports. Used to record case notes on participant activities and document supporting evidence of eligibility and participant payments. Data is used to perform analysis for trends, performance monitoring and reporting.	AJC Staff, Board Staff, OSO, and participants		X	X		There are opportunities to further train endusers on the full capabilities of the VOS system.
Grants4TN	Used to maintain records of financial transactions. Used to submit monthly expense reports and status reports to the state.	Fiscal Agent	X				Data is entered into the accounting system and in Grants4TN, and there is no communication between the two. This is a very timely process and also poses the risk of data integrity. Data between Jobs4TN, Grants4TN and GEMS must be manually reconciled as the systems do not interface.
GEMS (Government Enterprise Management System)	Accounting software used by the Fiscal Agent.	Fiscal Agent	X				
TeamBudget	Budget system where the budget and all the awards are housed. System interfaces with GEMS daily.	Fiscal Agent	X				Some risks to data integrity.
OnBase	Document storage repository. All documents are scanned here.	Fiscal Agent	X				Limited risks.
SkyView	Database that all the transactions from GEMS are dumped into. Used to run queries of the transactions for analytical purposes.	Fiscal Agent	X		X		Limited risks as at the data in the application is used for analytics and reporting purposes.
SalesForce	System that builds out dashboards for performance tracking.	CSP				X	Limited risks. System is used by CSP to track performance due to VOS limitations.

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